

**REQUEST FOR PROPOSALS (RFP)  
RFP No. BRFSS-09-001**

**FOR FURNISHING SERVICES TO CONDUCT AN  
ANNUAL HAWAII BEHAVIORAL RISK FACTOR  
SURVEYS  
FOR THE DEPARTMENT OF HEALTH**

**STATE OF HAWAII  
DEPARTMENT OF HEALTH**

**June 19, 2009**

State of Hawaii – Department of Health (DOH)  
Behavioral Risk Factor Surveillance System (BRFSS)

## Proposal Submittal Information Sheet

### IMPORTANT INFORMATION

**One (1) marked “ORIGINAL” and four (4) marked “COPY”  
of the proposal are required.**

**Proposals will be accepted at the following site until 4:00 p.m., H.S.T.,  
Wednesday, July 22, 2009**

**Drop-Off Site**

Department of Health  
Behavioral Risk Factor Surveillance System  
ATTN: BRFSS Project Director  
1250 Punchbowl Street, Room 262  
Honolulu, Hawaii 96813

**Proposals that are mailed must be postmarked before 12:00 Midnight, H.S.T.,  
Wednesday, July 22, 2009, and mailed to:**

Department of Health  
Behavioral Risk Factor Surveillance System  
ATTN: BRFSS Project Director  
1250 Punchbowl Street, Room 262  
Honolulu, Hawaii 96813

Please direct questions relating to this solicitation to:

**DOH RFP Coordinator**

Florentina Reyes-Salvail, BRFSS Project Director  
Department of Health  
1250 Punchbowl Street, Room 262  
Honolulu, Hawaii 96813  
Telephone: (808) 586-4509  
Fax: (808) 586-4193  
E-mail: brfsshi@doh.hawaii.gov

**BE ADVISED:**

ALL PROPOSALS MAILED AND POSTMARKED AFTER 12:00 MIDNIGHT,  
WEDNESDAY, JULY 22, 2009, WILL NOT BE ACCEPTED FOR REVIEW  
AND WILL BE RETURNED.

**No** DROP-OFFS WILL BE ACCEPTED AFTER 4:00 P.M., H.S.T.  
WEDNESDAY, JULY 22, 2009.

## **Table of Contents**

<b>SECTION ONE .....</b>	<b>1</b>
<b>INTRODUCTION.....</b>	<b>1</b>
1.1 TERMS AND ACRONYMS USED HEREIN .....	1
1.2 RFP SCHEDULE .....	1
1.3 WRITTEN INQUIRIES .....	2
1.4 INTENT TO OFFER.....	2
1.5 CERTIFICATION OF INDEPENDENT COST DETERMINATION .....	2
 <b>SECTION TWO.....</b>	 <b>3</b>
<b>SPECIFICATIONS.....</b>	<b>3</b>
2.1 INTRODUCTION .....	3
2.2 DESCRIPTION OF THE PROJECT .....	3
2.3 SCOPE OF WORK .....	4
2.4 ORGANIZATIONAL CAPACITY .....	5
2.5 CONTRACTOR DATA COLLECTION TASKS .....	6
A. Sample.....	6
B. Survey Questionnaire and Instrument .....	6
C. Pre-Test .....	7
D. Training.....	8
E. Supervision and Monitoring of Interviewers .....	8
F. Times for Interviewing .....	8
G. Location for Interviewing .....	8
H. Editing.....	9
I. Maximizing the Response Rate.....	9
J. Record of Sample Disposition .....	9
K. Data Entry .....	9
2.6 CONFIDENTIALITY .....	10
2.7 QUALITY CONTROL PROCEDURES .....	10
2.8 SITE VISITATION AND MEETINGS .....	10
2.9 PROJECT MANAGEMENT TASKS .....	11
2.10 REPORTING SYSTEMS AND DELIVERABLES.....	11
A. Monthly Status Reports .....	11
B. Monthly Datasets .....	12
C. Meetings .....	12
2.11 FINANCIAL PENALTY .....	12
2.12 CDC PROTOCOLS AND REQUIREMENTS.....	13
2.13 ASSISTANCE BY THE STATE .....	14
2.14 STAFFING FOR THE PROJECT .....	14
2.15 CONTRACT PERIOD .....	14
2.16 OWNERSHIP OF INFORMATION .....	15
 <b>SECTION THREE.....</b>	 <b>16</b>
<b>PROPOSAL FORMAT AND CONTENT .....</b>	<b>16</b>
3.1 INTRODUCTION .....	16
3.2 PROPOSAL FORMAT .....	16
3.3 TRANSMITTAL LETTER .....	17
3.4 EXECUTIVE SUMMARY .....	17
3.5 AGENCY INFORMATION, STAFF AND/OR SUBCONTRACTOR(S) .....	18

3.6	EXPERIENCE & REFERENCES .....	18
3.7	PROPOSAL PRESENTATION .....	19
	A. Work Plan .....	19
	B. Project Staffing.....	19
	C. Subcontractors .....	20
	D. Implementation Plan .....	20
	E. Offer Guaranty .....	20
	F. Tax Clearance.....	20
	G. Hawaii General Excise Tax License .....	21
	H. Tax Liability .....	21
	I. Tax Equalization Provision .....	22
	J. Taxpayer Preference.....	22
	K. Use of Facsimile Machine .....	22
3.8	PRICING INFORMATION.....	22
3.9	EXCEPTIONS.....	23
3.9	APPENDICES.....	23
3.10	NOTIFICATION OF ANY CONFLICT OF INTEREST .....	23
3.11	OFFER PREPARATION COSTS & DISPOSITION OF OFFERS.....	23
3.12	PROPOSAL.....	23
<b>SECTION FOUR .....</b>		<b>24</b>
<b>EVALUATION CRITERIA .....</b>		<b>24</b>
4.1	GENERAL INFORMATION.....	24
4.2	EVALUATION CRITERIA .....	24
	TOTAL NUMBER OF POINTS USED TO SCORE THIS PROPOSAL IS 100.	25
	A. General Assessment.....	25
	B. Work Background Experience .....	25
	C. Technical Requirements.....	25
	D. Work Plan & Implementation Plan.....	26
	E. Cost Proposal .....	26
4.2	BEST & FINAL OFFERS .....	26
4.3	CONTRACT AGREEMENT .....	27
<b>SECTION FIVE .....</b>		<b>28</b>
<b>SPECIAL PROVISIONS .....</b>		<b>28</b>
5.1	SCOPE .....	28
5.2	TERM OF CONTRACT .....	28
5.3	CONTRACT ADMINISTRATOR .....	28
5.4	REQUIRED REVIEW .....	28
5.5	SUBMISSION OF PROPOSAL.....	29
5.6	ECONOMY OF PRESENTATION.....	29
5.7	CONFIDENTIAL INFORMATION.....	29
5.8	CANCELLATION OF RFP & PROPOSAL REJECTION.....	30
5.9	OPENING OF SEALED PROPOSALS .....	30
5.10	OFFER ACCEPTANCE PERIOD.....	30
5.11	PROTEST.....	30
5.12	CONTRACT EXECUTION .....	30
5.13	REQUIRED CERTIFICATION.....	31
5.14	WAGE CERTIFICATE .....	31
5.15	CONTRACT MODIFICATION .....	31
5.16	INVOICING AND PAYMENT .....	31
5.17	SERVICING.....	32

5.18	REMOVAL OF CONTRACTOR'S EMPLOYEES .....	32
5.19	INSPECTION.....	32
5.20	LIQUIDATED DAMAGES .....	32
5.21	RIGHTS AND REMEDIES .....	33
5.22	ADDITIONS & EXCEPTIONS TO THE GTC.....	33

ATTACHMENT A: Offer Form

ATTACHMENT B: Wage Certificate

ATTACHMENT C: Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS  
Disposition Codes

## SECTION ONE

### INTRODUCTION

#### 1.1 TERMS AND ACRONYMS USED HEREIN

Procurement Officer	=	The contracting officer for the Department of Health of the State of Hawaii
SPO	=	State Procurement Office of the State of Hawaii, located at 1151 Punchbowl Street, Room 416, Honolulu, Hawaii 96813; P.O. Box 119, Honolulu, Hawaii 96810-0119.
Offeror	=	Any individual, partnership, firm, corporation, joint venture, or other entity submitting directly or through a duly authorized representative or agent, an offer for the good, service, or construction contemplated.
DOH	=	Department of Health
HRS	=	Hawaii Revised Statutes
HAR	=	Hawaii Administrative Rules
GTC	=	General Terms and Conditions, dated September 1, 1995 or its revised version and issued by the SPO
RFP	=	Request for (Sealed) Proposals
GET	=	General Excise Tax
BRFSS	=	Behavioral Risk Factor Surveillance System
CDC	=	Centers for Disease Control and Prevention

#### 1.2 RFP SCHEDULE

The State of Hawaii Department of Health desires to enter into a contract with a qualified organization to furnish services to conduct an Annual Hawaii Behavioral Risk Factor Survey and maintain data collection system for the DOH. The schedule of the RFP-related activities is as follows:

Advertisement of RFP and RFP issued	June 19, 2009
Deadline to submit written inquiries	June 30, 2009
State response to written inquiries	July 2, 2009
<b>Deadline to submit intent to offer</b>	<b>July 8, 2009</b>
<b>Proposals due to DOH</b>	<b>July 22, 2009</b>
Evaluation of Proposals	July 23 – 27, 2009
Discussions with (priority-listed) Offerors, if applicable	To be scheduled
Best and final offers, if necessary	To be scheduled

Contractor selection  
and issuance of notice of award  
Contract start date (estimated)

July 31, 2009

December 16, 2009

### 1.3 WRITTEN INQUIRIES

Written inquiries concerning this RFP must be received by the Deadline for Written Inquiries on by June 30, 2009 and sent to the address information noted below. Written inquiries must be specific and must reference the RFP number, page, paragraph, and line or sentence to which the question relates.

The DOH's written replies to Offeror's questions will be recognized as official only if the Offeror submits the questions in writing. Offerors are specifically cautioned that verbal discussions, questions, and replies thereto shall not have the effect of changing the provisions of the written RFP. Offerors are to submit written questions to: **Department of Health, Attn: Florentina Reyes-Salvail, BRFSS Project Director, 1250 Punchbowl Street, Room 262, Honolulu, HI 96813.** Questions may also be sent by fax (808-586-4193), or by e-mail, [brfsshi@doh.hawaii.gov](mailto:brfsshi@doh.hawaii.gov).

### 1.4 INTENT TO OFFER

Those Offerors who intend to submit a proposal in response to this RFP shall notify the RFP Contact Person [Florentina Reyes-Salvail, BRFSS Project Director] by July 8, 2009. The intent to offer shall be a statement on the letterhead of the Offeror and shall be signed by an individual authorized to commit the Offeror. It can be mailed or faxed to the BRFSS Project Director at the address/fax number stated above. Faxed statements of intent to submit an offer must be received by 4:30 p.m. on July 8, 2009. **The Offeror who fails to submit an intent to offer shall not be considered.**

### 1.5 CERTIFICATION OF INDEPENDENT COST DETERMINATION

By submission of an offer in response to this RFP, Offeror certifies as follows:

1. The costs in this response to the RFP have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such costs with any other Offeror.
2. Unless otherwise required by law, the costs, which have been quoted in this response to the RFP, have not been knowingly disclosed by the Offeror prior to award, directly or indirectly, to any other Offeror or competitor prior to the award of the contract.
3. No other attempt has been made or will be made by the Offeror to induce any other person or firm to submit or not to submit an offer for the purpose of restricting competition.

## **SECTION TWO**

### **SPECIFICATIONS**

#### **2.1 INTRODUCTION**

The Hawaii State Department of Health in cooperation with the Centers for Disease Control and Prevention (CDC) manages the Hawaii Behavioral Risk Factor Surveillance System. The purpose of this document is to provide interested parties with adequate information to enable them to prepare and submit a proposal to furnish services to conduct the Behavioral Risk Factor telephone survey and maintain data collection for the DOH.

This request for sealed bids/invitation for bids (RFP) facilitates the procurement of the services of a single general contractor who has the option of subcontracting with other firms to carry out any component of the project under the conditions that: (1) the subcontract(s) should not exceed twenty percent (20%) of the total sum of the contract, and (2) that the Contractor obtain written permission from the State prior to subcontracting.

All work to be performed under this contract shall be subject to conflict-of-interest provisions and restrictions on disclosure of work assignment information.

#### **2.2 DESCRIPTION OF THE PROJECT**

The Behavioral Risk Factor Surveillance System (BRFSS) operates in all 50 states, Guam and Puerto Rico. Like all the other participating states, the Hawaii BRFSS is a monthly landline telephone survey of health risk behaviors administered annually to State of Hawaii residents 18 years and older. Landline telephone respondents are randomly selected from the adults within the household. However, the declining response rate coupled with advancing technologies such as cell phone necessitates adaptation to ensure adequate coverage of the adult population. Thus, in addition to the landline telephone survey, mail-follow-up of non-respondent to the main BRFSS as well as cell phone BRFSS will be regular part of the BRFSS implementation.

The DOH and CDC provide annual statewide reporting on health risk behaviors and state-to-state comparison using the BRFSS data. The BRFSS data provide information about health issues to legislators, health policy makers, professionals, non-profit programs, and the public. These data are used for planning by health programs concerned with health risk behaviors that impact chronic disease, especially among special/minority populations. In addition, numerous programs at the DOH use BRFSS for grant application and grant implementation requirements.

The CDC and states collaborate to design the survey instrument. The survey instrument includes questions about individual health risk behaviors (e.g., the use of tobacco, alcohol consumption, seatbelt use, height and weight) and some



chronic diseases (e.g., diabetes, asthma, arthritis). Demographic data such as race, ethnicity, age, sex, marital status, household income, education, employment status, and county are included in the survey questions as well. Also, there are optional modules that the state may include. The DOH periodically adds questions to the survey instrument known as state-added questions that minimally include island of residence, and respondent's ethnicity.

The CDC through DOH will provide the Contractor with (1) a stratified random sample of landline telephone numbers (2) random sample of cell phone numbers each month (3) address for mail-follow of landline non-respondents. Both the landline and cell phone files will have a 10-digit telephone number (area code, prefix, suffix) and other information pertinent to phone sample management.

## **2.3 SCOPE OF WORK**

For calendar year 2010, the DOH REQUIRES (1) landline phone survey consisting of (a) main BRFSS survey with approximately 160 questions and have at least 6,000 respondents and (b) asthma callback survey for adults and child with approximately 700 respondents (2) mail-follow-up survey of non-respondents to main BRFSS survey with at least 25% completed returns (3) cell phone survey with at least 250 completes. All cell phone sample numbers shall be dialed manually.

The number of monthly completed submission (1) for the main BRFSS is at least 500, (2) for asthma callback is dependent of the result of the main BRFSS and is estimated to range from 50 to 58, (3) for the mail-follow-up is approximately 25%, the number of sample being dependent on the total number that did not participate in the main BRFSS and (4) at least 25 completes for ten months, the cell phone interviews commencing from February and ending in November. The average interview time of the 2008 main BRFSS interviews was approximately 27 minutes, asthma callbacks about 18 minutes and cell phone interviews about 17 minutes. Results of interviews as well as mail-follow-up for non-respondents to main BRFSS shall be transmitted in electronic media or electronic form according to the format prescribe by CDC.

The Offeror shall have the capacity to do CATI modifications for phone interviews or questionnaire modifications for mail-follow-up in short notice.

The number of completed interviews per calendar year may change in the future and is subject to programmatic demand and the availability of funds.

The Offeror shall provide price quotes for the three major tasks mentioned (landline phone survey, cell phone survey, mail-follow-up). Price quote shall also be provided for adding a question. Deletion of a question or set of questions shall not have any charge or added cost. The Offeror shall provide a timeline for meeting the required number of telephone (landline and cell) interviews and mail-follow-up surveys in accordance with CDC BRFSS protocol. Timeline submitted

should project a start date of January 3, 2010. (Note: Actual start date is contingent upon date of contract execution.)

No questions may be added or deleted from the BRFSS questionnaire without written approval from DOH.

The Contractor shall adhere to the data collection procedures as outlined in the BRFSS guidelines posted at <http://www.cdc.gov/brfss/training.htm> and in future guidelines. The Contractor shall not deviate from the CDC procedures for the implementation of the Behavioral Risk Factor Survey, unless prior written approval has been granted by DOH. The proposal section of this RFP includes, but is not limited to the activities, deliverables, and reports listed below:

1. Pre-testing of state specific questions;
2. Entering questionnaire into a CATI system;
3. Hiring and training an appropriate number of interviewers;
4. Completing the designated number of interviews on a monthly basis using the Offeror's CATI system at Offeror's own facilities;
5. Entering, coding, and editing the data obtained;
6. Submitting the monthly data collected to CDC application software PC-EDITS;
7. Submitting the dataset which passed the PC-EDIT requirements on a monthly basis to DOH following DOH procedures and guidelines; and
8. Providing error corrections to the datasets as requested by DOH.

## 2.4 ORGANIZATIONAL CAPACITY

A fully automated Computer Assisted Telephone Interviewing (CATI) system is needed to implement the BRFSS phone interviews. The Offeror shall provide a detailed description of the CATI facility and its capabilities. The preferred CATI system is the WINCATI/CI3. Scanning system and facility is needed for the mail follow-up survey for non-respondent. The following capacities are essential requirements for conducting the BRFSS and must be provided by the Offeror:

1. A secure phone bank system and computer system for interviewing in an established working environment.
2. The ability to collect the BRFSS questionnaire responses via an established CATI system.
3. The capacity to allow DOH to monitor interviews off-site.
4. Appropriate contacts and billing arrangements with the local phone company. *The bidder should estimate phone charges in the budget section of the bid proposal.*
5. A safe storage and back-up system for completed survey data.
6. A staff of experienced interviewers and interviewing supervisors available to be assigned to this project.
7. Experienced staff available for the following positions: a Project Manager specifically assigned responsibility for this project, a Survey Operations Manager responsible for interviewer hiring, training and supervision, and a data manager.

8. The capacity to complete the entire project within the required time frames.
9. The capacity to perform additional surveys of subpopulations, sub-regions or special issues if the need arises and funding is available.
10. The ability to add additional questions for a fee.
11. The ability to increase sample size for a fee.
12. The capacity to do mail survey and translate the collected information in electronic format via scanning rather than data entry.
13. The capacity to provide for toll free number for the project.

## **2.5 CONTRACTOR DATA COLLECTION TASKS**

The Offeror's proposal shall specify a detailed plan for collecting the data. The Contractor shall follow the data collection procedures as described in this RFP and outlined in the CDC BRFSS operations guide. Featured below are the data collection tasks to be discussed in the Offeror's proposal and timeline.

### **A. Sample**

The CDC through DOH will provide the Contractor with a stratified random sample of telephone numbers each month for the landline survey and random sample for the cell phone survey. The DOH will assure that the sample contains enough active residential telephone numbers to complete at least the designated interviews each month as the BRFSS requires. The BRFSS geographic sampling strata include the islands of Oahu, Kauai, Maui, Hawaii, Molokai, and Lanai. The Contractor shall not make any changes to the sample unless prior written approval is provided by DOH. The Contractor should be able to accommodate change in the number of samples to be completed as requested by DOH within a reasonable timeframe and or change in the questions or number of questions. The address file will be provided by CDC through DOH for the mail-follow-up of non-respondent to the main BRFSS interviews.

The Offeror's proposal shall address how the Contractor intends to use the monthly sample provided by CDC/DOH. The Offeror's proposal shall fully describe and explain how the sampling telephone numbers and mail follow-up are managed. The tasks shall be outlined in the proposal and timeline.

### **B. Survey Questionnaire and Instrument**

The main questionnaire for land line telephone survey consists of approximately 160 items comprised of the CDC core questionnaire items, selected optional modules and the Hawaii state-added questions. DOH will provide the Contractor with the survey questionnaire to be used for the survey year.

The Contractor shall program all questions with response categories and skip patterns in the CATI system prior to the beginning of the survey year. Offeror submitting an offer is required to have an operational CATI System on site at the

time of offer submittal. The preferred CATI system is the WINCATI/CI3 to assure that it is capable of carrying out the protocol and disposition requirements of the survey as prescribed by CDC. The Contractor is required to submit all screens of the survey instrument for DOH approval in an executable format prior to the start-up date of the survey for DOH staff to examine and verify. In the event that there are errors in the programming of the questionnaire, the Contractor must immediately correct the error at no cost to the State and provide documentation to DOH of the occurrence and the correction(s). The Contractor shall also accommodate last minute modifications of questions as requested by CDC or DOH. The contractor should develop a transitional paragraph or prologue to a set of questions when appropriate or when such is not provided by CDC. This transitional paragraph should be submitted to the DOH Contract Administrator for approval prior to use.

The Contractor shall design the mail questionnaire for follow-up survey and prepare the mail questionnaire result in scan ready format and provide for editing procedure of the scanned items.

Any change(s) made by the Contractor to the specified data layout shall be communicated in writing to the BRFSS Project Director. Prior to implementing any proposed changes, the Contractor shall receive approval from DOH. If the Contractor makes any corrections and changes, the Contractor shall provide a final corrected version to DOH.

The Offeror's proposal shall explain in detail the activities and tasks that need to occur in the pre-implementation and implementation of the survey instruments. The Offeror's proposal shall describe the arrangement of the present CATI system and mail system at the Contractor's site and what needs to be done in order that the survey instruments are set-up and fully operational on the CATI and mail system. These tasks shall be outlined in the proposal work plan and timeline.

A final CATI version reflecting the questionnaire shall be provided to DOH within seven working days of the start of the survey year and or in the case of mail-follow-up within ten days prior to the start of the first mail out.

### **C. Pre-Test**

Prior to the beginning of the survey year, the Contractor shall pre-test the questionnaire and the State-specific questions with a sample of at least 25 adults. State-added questions that are new to the State or have never been used in the State should be pilot-tested with at least 100 sampled adults. The written report of the pre-test results with recommendations for improvement shall be provided for review to the DOH Contract Administrator prior to survey implementation. A copy of the finalized CATI survey instrument shall be provided to the DOH Contract Administrator.

The proposal shall state in detail the procedures to be used for the pre-testing of the questionnaire items. The proposal shall describe the criteria used to evaluate the effectiveness of the questionnaire during the pre-testing period. An enumeration of these tasks shall be included in the proposal and timeline.

#### **D. Training**

The proposal shall describe how the Offeror intends to train all interviewers in the administration of the survey instrument. The proposal shall explain in detail the content and method of interviewer training, including but not limited to the type and number of staff conducting and receiving training, training content, duration and location of training, the frequency of instruction and retraining when the questionnaire is revised or changed. The Offeror shall follow the CDC training guidelines as posted at the CDC BRFSS website <http://www.cdc.gov/brfss/training.htm>.

#### **E. Supervision and Monitoring of Interviewers**

The Contractor shall provide one supervisor for every eight to ten experienced interviewers and a one-to-four supervision ratio for inexperienced interviewers. DOH prefers that supervisors have had at least some graduate school education in the social or health sciences. If more than one supervisor is employed, an experienced field director shall be available to supervise the supervisors.

The proposal shall fully specify the type and extent of supervision of interviewers during the monthly calling period. The proposal shall describe who shall provide the interviewer monitoring and how it shall occur during the interview period. The proposal shall also address who is responsible for the supervision of supervisors and the plan for how this level of supervision shall occur.

#### **F. Times for Interviewing**

The proposal shall specify the rationale and time schedule for interviews to assure that 80 percent of the interviews are conducted on weeknights and weekends. The remaining 20 percent of the interviews are to be conducted during the afternoon hours from 1:00 P.M. to 5:00 P.M.

The Offeror shall address in the proposal and timeline a modified strategy for completing the interview quota for mid- to late December and other holidays as appropriate. All time mentioned in this RFP is Hawaii Standard Time (HST). Offerors with facilities not located on Oahu shall address how they shall manage time differences in the calling hours for interviewing.

#### **G. Location for Interviewing**

The proposal shall specify where the interviewers and supervising personnel shall be physically located during the interview; describe the telephone system used, and how long-distance calling shall be handled. If the Offeror's facilities are

located off the Island of Oahu and or out-of-state, the Offeror shall provide for at least one site visit for interview monitoring at the Offeror's expense. The Offeror shall provide for offsite interview monitoring system and shall provide training to DOH staff such that offsite monitoring can be done.

#### **H. Editing**

The proposal shall describe how the Contractor shall edit all survey forms for accuracy and completeness, including general editing procedures. The Contractor shall provide edited and cleaned completed interviews, including data consistency and validation checks, and provide a standard, reliable data set for each month's survey within five (5) days after the end of each monthly interview period. Contractor shall submit the monthly data set consisting of the core questions and optional modules to CDC's PC-EDIT program and provide edit procedures to state-added questions.

#### **I. Maximizing the Response Rate**

The proposal shall describe the Contractor's methods and plan for maximizing the response rate for the BRFSS (e.g., Council of American Survey Research Organizations or CASRO rate). The Offeror should abide by CDC's requirement of making at least 15 attempted calls to contact a household. The proposal may include but is not limited to a discussion of the Offeror's strategy for handling calling attempts and callbacks such as "ring-no answer," busy calls, answering machines, etc.

#### **J. Record of Sample Disposition**

The proposal shall describe the manner in which the Contractor shall monitor and provide the final disposition of every telephone number with the use of the BRFSS Rules of Replacement codes and disposition codes as required by the CDC. The current disposition codes and rules document is attached as Attachment C. The proposal shall describe how the Offeror shall use information from the disposition of calls to improve the overall survey response rate and survey efficiency.

The call history including the disposition of each call should be part of the monthly dataset submitted to DOH and CDC.

#### **K. Data Entry**

The proposal shall explain how the Contractor shall implement data entry and error correction of the survey results. The proposal shall discuss the staff involved in the editing, their responsibilities, experience and qualifications, and quality control measures to be used.

The Contractor shall code the data in a manner consistent with the BRFSS questionnaire response categories and layout prescribed by CDC. The error

correction protocol shall include a range check and validation check. The Contractor must verify 100% of the data entries. The Contractor shall provide the dataset in electronic media or via e-mail attachment to DOH using the prescribed CDC format.

The Contractor shall pass the dataset through CDC provided PC-Edit software, make necessary corrections as reported by the PC-EDIT and submit the corrected dataset to DOH. The Contractor shall provide DOH with the monthly dataset within five (5) working days of the end of the month.

## **2.6 CONFIDENTIALITY**

The Contractor shall not distribute any data to anyone without first obtaining written permission from DOH. Any information, news releases, and studies, etc., pertaining to this contract or the services, study, data or project to which it relates shall not be made public without prior written approval from and only in coordination with DOH. All data shall be kept confidential so that the individuals and/or households are not identifiable. The proposal shall describe the Contractor's policy and procedures for handling requests for information.

## **2.7 QUALITY CONTROL PROCEDURES**

The CDC will provide a PC-Edit program only for the CDC BRFSS questions of the survey. For the state-added part of the survey questions, the Contractor shall develop and use a software program to make any necessary edits and corrections to the monthly dataset. The Contractor shall generate quality control reports. This report and the edited dataset shall be submitted to DOH on a monthly basis.

For each month's sample to be used in the survey, the Contractor shall establish strict quality control procedures that meet the standards of CDC, as well as the DOH. There are many sources of errors and these errors should be controlled. There is an increased recognition of the importance of controlling and/or assessing non-sampling sources of error, which include data entry error, non-response error, and measurement error. Each of these potential sources of error contributes to total survey error and should be considered equally important when planning, implementing, and interpreting a survey. Reducing total survey error or implementing procedures to measure its approximate size is considered critical in achieving high-quality prevalence data and should be addressed by bidders. The contractor should aspire to meet the DOH goal of at least 50% CASRO response rate and describe or participate in ways of improving response rate. The contractor should try to minimize item non-response.

## **2.8 SITE VISITATION AND MEETINGS**

During the course of the contract, DOH shall have unlimited rights to visit the Contractor's site to monitor interviews and review survey materials/data on-site or off-site. The Contractor shall provide DOH staff access to all materials relevant

to the survey. The disposition of each dialing shall be documented and all such documentation shall be available to DOH staff on request. In addition, the contractor should allow the on-site or off-site observation of interviews in progress, including the viewing of terminal screens and data entry operations.

DOH and Contractor shall have at least one meeting annually in Honolulu or at Contractor's site to discuss the survey process and solve problems as needed. Out-of-island site visit is at the Offeror's or Contractor's expense.

## **2.9 PROJECT MANAGEMENT TASKS**

The proposal shall describe the transitional activities to achieve the implementation of the Behavioral Risk Factor Surveys in calendar year 2010. The proposal shall describe and enumerate how these tasks shall be accomplished and how the contractor shall work with DOH to gear up to full scale implementation of the survey in January 2010.

Within five (5) days of the effective date of the contract, the Contractor shall provide a final work plan and a specific timeline for the delivery of all data collection tasks.

## **2.10 REPORTING SYSTEMS AND DELIVERABLES**

The Offeror's proposal shall operationalize the Offeror's procedure for providing reports and deliverables to DOH.

### **A. Monthly Status Reports**

Monthly status reports are considered to be progress reports covering project activities during the prior month. The report should be consistent with the Contractor's proposal, as amended or approved in writing by DOH. The report shall provide a discussion of monthly survey efficiency with recommendations and plans for improvement. This full report for a particular month is due within five (5) working days of the end of the interview month.

The monthly status report shall include:

- 1) Status of monthly number of completes versus monthly targets by stratum or island.
- 2) Status of need for additional samples.
- 3) The Survey Efficiency, CASRO, cooperation rate;
- 4) A record of the disposition of all monthly calls;
- 5) A record of the outcome of supervisor verified interviews;
- 6) A report of any changes in interview staff;
- 7) The number of interviewer hours and evaluation of their performance, etc.; and
- 8) A summary of the daily number of attempted calls, completed interviews, and dispositions by stratum.



**B. Monthly Datasets**

Data from interviews conducted each month shall be submitted in electronic form either via e-mail or password protected electronic media to the BRFSS Project Director on a monthly basis and within five (5) working days after the end of the month provided that the data set has passed the PC-Edit program of CDC. The dataset includes the entire total sample files following the data element layout provided by CDC and the state added question layout for samples that were not called, samples that were called but not contacted, samples that were called but refused, records of partial interviews, records of completed interviews. However, telephone numbers and other personal identifiable information should not be included in those monthly submissions of files.

If corrections are required, a corrected copy of the dataset on a password-protected media or sent via e-mail shall be submitted to the DOH within five (5) working days after the Contractor is notified of the needed corrections. The password of protected files shall be submitted separately to the BRFSS Project Director by e-mail, telephone, or facsimile.

**C. Meetings**

If the Contractor is from the State of Hawaii, monthly meetings will be at the Contractor site. If the Contractor is from out-of-state, electronic mail or telephone calls or telephone conference calls can replace face-to-face meetings. If an out-of-state Contractor is selected, the Contractor and DOH shall have at least one (1) meeting per year in Honolulu or at Contractor's site to discuss the survey process and other survey issues. Travel costs should be at the expense of the Contractor.

**2.11 FINANCIAL PENALTY**

If the number of respondents is less than eighty-five percent (85%) of the designated number of completed interviews per month, a financial penalty of twenty percent (20%) of the monthly payment will be imposed. The penalty shall be refunded to the Contractor if the cumulative respondent completed interview for the year exceeds the minimum sample size as determined by DOH.

A financial penalty for low response rates will be imposed if the CASRO response rate falls below forty percent (40%). A financial penalty will also be imposed if more than 10% of completed sample interviews are partial-completes. The imposed penalty shall be refunded to the contractor if the cumulative response rate for the year exceeds the minimum response rate specified or the cumulative completes are 90% or higher.

## 2.12 CDC PROTOCOLS AND REQUIREMENTS

1. Systematic, unobtrusive electronic monitoring should be a routine and integral part of monthly survey procedures for all interviewers.
2. Unless electronic monitoring of interviewers is routinely conducted, a 5% random sample of each month's interviews must be called again to verify selected responses for the purpose of quality assurance. (See Verification Callbacks in the Quality Assurance section.)
3. An eligible household is a housing unit that has a separate entrance, where occupants eat separately from other persons on the property, and that is occupied by its members as their principal or secondary place of residence.

Non-eligible households are (1) vacation homes not occupied by household members for more than 30 days per year, (2) group homes, and (3) institutions.

Eligible household members include all related adults (aged 18 years or older), unrelated adults, roomers, and domestic workers who consider the household their home, even though they may not be home at the time of the call. Household members do not include adult family members who are currently living elsewhere.

4. Proxy interviews are not conducted within the BRFSS. Individual respondents are *randomly* selected from all adults aged 18 years and older living in a household and are interviewed in accordance with BRFSS protocol.
5. Conduct interviews during each month in accordance with a prescribed protocol, and incorporate surveillance results into Computer Aided Telephone Interviewing computer files.
6. Edit and correct completed interviews each month.
7. Ask the core component questions without modification. States may choose to add any, all, or none of the optional modules and state-added questions after the core component.
8. Telephone sample numbers are from GENESYS through CDC.
9. With the exception of verbally abusive respondents, eligible persons who initially refuse to be interviewed will be contacted at least one additional time and given the opportunity to be interviewed. Preferably, this second contact will be made by a supervisor or a different interviewer.

10. Call attempts on all sample pieces should be completed during the calendar month of the sample selection. However, if there are unresolved sample pieces remaining without the required call-backs at the end of the month, calls should continue until each sample piece can be given a final disposition according to the BRFSS disposition rules. If it is repeatedly necessary to make additional calls after the end of the month, steps should be taken to accelerate calling earlier in the month by increasing interviewer hours.
11. A list of memorandum protocols can be found at <http://www.cdc.gov/brfss/training.htm>.

### **2.13 ASSISTANCE BY THE STATE**

To assist the Contractor's efforts, all communications should be addressed to the BRFSS Project Director (Department of Health, 1250 Punchbowl Street, Room 262, Honolulu, Hawaii 96813), who will be responsible for arranging and coordinating all administrative matters and necessary information and decisions as required by the Contractor of this project.

### **2.14 STAFFING FOR THE PROJECT**

The personnel assigned to the project by the Contractor and subcontractor(s), if any, shall not be employees of or individuals that have direct contractual relationships with the State.

The Contractor and its subcontractor(s), if any, will staff the project with a Project Coordinator who will be the "contact person," authorized to interact with the State and ensure that the project schedules and deliverables are being met. The Project Coordinator must have a minimum of five (5) years experience in project management of health-related surveys or has strong potential to manage complex survey.

### **2.15 CONTRACT PERIOD**

- A. The initial contract period will be up to thirteen (13) months (starting effective date of contract, on or about December 15, 2009, through January 14, 2011).
- B. The DOH has the option to extend the contract, renewable for up to five (5) additional years, pending availability of funds and the policies and guidelines that are established for the Executive Budget and subject to the satisfactory performance of contractual requirements. The total contract period with extensions will not exceed six (6) years.
- C. Contract extensions are subject to mutual agreement by the State and the Contractor, and contingent upon satisfactory performance of contract requirements and completion of product deliverables.

- D. The Contractor must respond within fifteen (15) calendar days following receipt of the State request for extension.
- E. All terms and conditions of the Contract will continue in force in the event of a Contract extension.

## **2.16 OWNERSHIP OF INFORMATION**

Title and all exclusive copyrights to all reports, information, data, and educational materials, prepared by the Contractor in the performance of this contract shall vest in the State. Subject to applicable State and Federal laws and rules, the State shall have full and complete rights to reproduce, duplicate, adapt, distribute, display, disclose and otherwise use all such information and materials.

## SECTION THREE

### PROPOSAL FORMAT AND CONTENT

#### 3.1 INTRODUCTION

One objective of this RFP is to make the proposal preparation easy and efficient, while giving all potential Offerors ample opportunity to highlight their offer. The evaluation process must be manageable and effective. There is no intention to limit the content of a proposal, and the Offeror may include additional information if so desired. The Offeror shall fully describe its ability to meet the stated requirements. When an Offeror submits its proposal, it shall be considered a complete plan for accomplishing the tasks described in this RFP and any supplemental tasks the Offeror has identified as necessary to successfully deliver the services to conduct the BRFSS that is sought by the Department of Health.

Only one (1) proposal will be accepted from any one (1) person, partnership, corporation, or other entity; however, several alternatives may be included in the proposal. All proposals and other materials submitted in response to this RFP shall become the property of the DOH and may be returned only at the State's option.

The State reserves the right to determine what is in the best interest of the State for purposes of reviewing offers submitted in response to this RFP. The State intends to conduct a comprehensive, fair, and impartial evaluation of offers received in response to this procurement effort.

#### 3.2 PROPOSAL FORMAT

One (1) original and four (4) copies of each proposal should be submitted on forms and in the format specified in the RFP. The original shall be clearly marked "ORIGINAL" and copies shall be clearly marked "COPY." The material should be in sequence and related to the RFP. The State will not provide any reimbursement for the cost of developing or presenting proposals in response to this RFP.

The outer container for the RFP must:

- a. Be clearly marked "**RFP for FURNISHING SERVICES TO CONDUCT AN ANNUAL HAWAII BEHAVIORAL RISK FACTOR SURVEYS FOR THE DEPARTMENT OF HEALTH, RFP-BRFSS-09-001**".
- b. Indicate the legal name of the Offeror, name (of contact person), email address, address, telephone number, and fax number of the Offeror; and
- c. Be sealed.

Any material deviation from these requirements may be cause for rejection of the proposal, as determined in the State's sole discretion. The Offeror's proposal shall provide all of the information requested in this RFP and may organize them into sections with tabs separating each section described below:

1. Transmittal Letter
2. Table of Contents
3. Executive Summary
4. Agency Information and Staff and/or Subcontractor(s)
5. Experience & References
6. Proposal
7. Project Implementation & Work Plan/Timeline
8. Cost Proposal
9. Exceptions
10. Offer Form (Refer to Attachment A)
11. Wage Certificate (Refer to Attachment B)

### **3.3 TRANSMITTAL LETTER**

A transmittal letter shall be attached to the proposal and all copies. The transmittal letter shall be in the form of a standard business letter on Offeror's letterhead. Transmittal letter shall indicate that the proposal is submitted in response to **RFP No. BRFSS-09-001**; and shall designate those portions of the proposal which contain trade secrets or other proprietary data, if any, and shall be signed by the Offeror.

A Transmittal Letter must be included for the proposal submitted, and it shall:

1. Identify the title and number of this RFP;
2. Include the complete name of the Offeror's agency and its address;
3. Include the name, mailing address, telephone/facsimile numbers, and the e-mail address of the person the State should contact regarding the Offeror's proposal;
4. Confirm that the Offeror will comply with all provisions of this RFP; and
5. Identify the complete name(s) of any subcontractor the Offeror proposes to use.

### **3.4 EXECUTIVE SUMMARY**

The executive summary should provide an overview that demonstrates the Offeror understands the tasks to be completed and the services required by this RFP. This should be followed by a summary that condenses and highlights the contents of the proposal in such a way as to provide the Evaluation Committee with a broad understanding of the entire offer. The executive summary should include a list of the services to be provided and the items to be delivered or services to be provided.

### **3.5 AGENCY INFORMATION, STAFF AND/OR SUBCONTRACTOR(S)**

State the full name and address of your organization and, if applicable, the branch office or other subordinate element that will perform or assist in performing the work hereunder. In addition, state whether the business organization is licensed to operate in Hawaii.

The Offeror shall provide a comprehensive description of its ability to meet the RFP requirements and staffing requirements necessary for furnishing services to conduct an Annual Behavioral Risk Factor Surveys, including the number and location of employees and/or subcontractors and resources that will be committed to the project.

The Offeror shall include the title for the proposed project, name and business address of the individual or organization(s) that will perform the work, street address, mailing address, telephone number(s), and facsimile number. The Offeror shall also provide a list of and résumés for all key personnel associated with the proposal. For each person on the list, the following information must be included:

1. The person's job title and years of employment with the Offeror;
2. The role that person will have in connection with the proposal;
3. The person's educational background;
4. The person's relevant experience; and
5. Relevant awards, certificates, or other achievements.

### **3.6 EXPERIENCE & REFERENCES**

Offerors shall document their capabilities and prior experience through the provision of detailed descriptions and references from current or recent activities, which are similar in scope to this requirement. Related projects described should be of a size, complexity, and type of service comparable to the scope of services described in this RFP. Offerors must identify all current contracts with similar surveys involving ongoing data collection systems. Primary contractor and subcontractor's (if applicable) experience shall be listed separately. Each reference shall contain the name, address, and telephone number of a responsible official of the project/company who may be contacted by the DOH and can speak to Offeror's performance and financial capabilities to furnish all services requested.

The proposal shall include a comprehensive description of the Offeror's experience in developing and implementing health-related surveys involving ongoing data collection systems and include the following for each reference:

1. Inclusive project dates.
2. Names and addresses of organizations for which the project was performed.
3. Name and telephone number of individual in the client's organization who was the Project Coordinator and is most familiar with the previous work.
4. Description of project and summary of costs.

### **3.7 PROPOSAL PRESENTATION**

The Offeror's technical aspect of its proposal shall be a complete plan for accomplishing the tasks described in this RFP and any supplemental tasks that the Offeror has identified. The Offeror's plan must demonstrate an understanding of and the ability to meet and perform, all contractual requirements listed in this RFP, including all contractual services.

Offeror's proposal presentation must be submitted in the format outlined below. Each section of the proposal should be clearly identified with the appropriate headings as listed below. To be considered for award, the proposal must respond to all requirements of this RFP. Any other information thought to be relevant but not applicable to the categories listed below, should be provided by the Offeror as an appendix to the proposal.

#### **A. Work Plan**

Describe in narrative form the technical plan for accomplishing the work by addressing each task described in this RFP, Section 2.5, Contractor Data Collection Tasks. Indicate the number of staff hours allocated to each task. Include a program evaluation and time-chart showing each event, task, and decision point in your work plan.

Describe how the following issues shall be addressed to accomplish the activities in the RFP: long-distance calls and the time difference between Hawaii and other states, for Offerors located outside of Hawaii; Monitoring of Contractor and site visits for Offerors not located on Oahu; Electronic transfer of all deliverables.

#### **B. Project Staffing**

The Contractor shall be able to staff a project team with talent and expertise in the fields of all forms of survey such as landline telephone surveys, cell phone surveys, and mail surveys and data management. Offeror shall 1) Include the number of executive and professional personnel who shall be employed in the work, by skill and qualification; 2) Show where these personnel shall be physically located during the time they are engaged in the work; 3) Indicate which of these individuals are considered key to the successful completion of this project, and shall identify them by name and title; 4) Indicate the amount of dedicated management time that the project manager and other key individuals shall devote to the services requested herein; and 5) Include their education and experience in telephone interview survey research, mail survey and sampling and in the areas identified in the Task portion of the Specifications.



Offeror shall designate a Project Manager who shall maintain close and frequent communications with the State's Contract Administrator. Offeror's Project Manager shall be experienced in the type of work involved. Every effort will be made by all parties to the contract to retain the same liaison representative during the term of the contract in order to maintain continuity of effort and control.

**C. Subcontractors**

With written approval from the State, subcontractors may be used by the Contractor in performing services, not to exceed twenty percent (20%) of the overall contract total. Offeror shall list all subcontractors, including the firm name and address, contact person, a complete description of work to be subcontracted, and an estimate of the subcontract costs. Offeror shall also include descriptive information concerning each subcontractor's organization and abilities.

The Contractor shall not delegate any duties listed in this contract to any subcontractor other than those listed in the Work Plan, unless the State has given written approval. The State reserves the right to approve all subcontractors for this project and to require the primary contractor to replace any subcontractors found to be unacceptable. The primary contractor will be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract and will be responsible for all services whether or not the subcontractor performs them.

**D. Implementation Plan**

The Offeror shall describe a plan to ensure that the BRFSS is implemented and conducted within a reasonable time effective upon date of contract execution for all forms of the BRFSS surveys.

**E. Offer Guaranty**

An Offer Guaranty is not required for this solicitation. Any references to offer guaranties in the GTC are not applicable to this RFP.

**F. Tax Clearance**

Pursuant to § 103D-328, HRS, successful Offeror shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS).

To facilitate this requirement, Offeror is urged to submit a valid tax clearance certificate together with the offer. However, if this is not feasible, the certificate should be applied for at DOTAX or the IRS and submitted to the DOH as soon as possible. If a valid certificate is not submitted on a

timely basis prior to award of the contract, an offer otherwise responsive and responsible may be rejected and not considered for award. The certificate is valid for six months from the most recent approval stamp date on the certificate. The certificate must be valid on the date it is received by the DOH.

The tax clearance certificate shall be obtained on the State of Hawaii, DOTAX TAX CLEARANCE APPLICATION Form A-6 (rev. 1998), which is available at the DOTAX and IRS offices in the State of Hawaii or the DOTAX Website, and by mail or fax:

- DOTAX Website (Forms & Information):  
<http://www.state.hi.us/tax/tax.html>
- DOTAX Forms by Mail: (808) 587-7572, 1-800-222-7572
- DOTAX Forms by Fax: (Oahu) (808) 587-7572  
(Outside Oahu) (808) 678-0522

Completed tax clearance applications may be mailed to one of the district tax offices listed on the application or faxed to one of the following numbers:

- IRS: (808) 541-1976;
- DOTAX: Oahu (808) 587-1720 or (808) 587-1488; Maui (808) 984-8522; Kauai (808) 274-3461; Hawaii (808) 974-6300.

If mailed, out-of-state Offerors should send their application to DOTAX Oahu District Office. Note: Contractor is required to submit a tax clearance certificate for final payment on the contract. Refer to the section of INVOICING on these special provisions.

#### **G. Hawaii General Excise Tax License**

In accordance with the General Terms and Conditions, Offeror shall submit his current Hawaii General Excise Tax number in the space provided on OFFER FORM, page OF-1, thereby attesting that he is doing business in the State and that he will pay such taxes on all sales made to the State.

#### **H. Tax Liability**

Work to be performed under this solicitation is a business activity taxable under Chapter 237, HRS, and vendors are advised that they are liable for the Hawaii General Excise Tax (GET), currently at the 4 1/2% rate and applicable use tax, currently 1/2%, resulting from this solicitation. If, however, an Offeror is a person exempt by the HRS from paying the GET and therefore not liable for the taxes on this solicitation, Offeror shall state its tax exempt status and cite the HRS chapter or section allowing the exemption.

If an out-of-state vendor does not possess a Hawaii GET license, but has “sufficient presence in Hawaii,” then such vendor is advised that the gross receipts derived from this solicitation are subject to the GET imposed by Chapter 237, HRS, at the current 4 1/2% rate, and the use tax imposed by Chapter 238, HRS, at the current 1/2% rate.

**I. Tax Equalization Provision**

For evaluation purposes, pursuant to § 103-53.5, HRS, as amended, the price offer submitted by an Offeror not liable for the GET under this solicitation, shall be increased by the current rate of the GET. Under no circumstance shall the dollar amount of the award include the aforementioned adjustment.

**J. Taxpayer Preference**

For evaluation purposes, pursuant to §103D-1008, HRS, the Offeror’s tax-exempt price offer submitted in response to an RFP shall be increased by the applicable retail rate of general excise tax and the applicable use tax. Under no circumstance shall the dollar amount of the award include the aforementioned adjustment.

**K. Use of Facsimile Machine**

Copies of documents transmitted by Offerors via facsimile shall be limited to modifications or notice of withdrawal of an offer pursuant to Sections 3-122-108 HAR and 3-122-28, HAR, respectively.

**3.8 PRICING INFORMATION**

The Offeror shall provide pricing information for all items provided and/or services offered to furnish the scope of work as described in this RFP. Pricing shall include all services, materials, supplies, equipment, overhead, profit and any other incidentals and operation expenses incurred to provide the proposed services.

The Offeror shall include a Budget Expenditure Plan, which shall be in accordance with the proposed work plan and timeline of scheduled activities proposed. The Offeror’s cost proposal shall include a narrative budget justification, which describes how the costs are derived, including projecting for addition or deletion of questions from the basic survey package.

During the contract period, survey questions may be added from the basic survey package, and price adjustment(s) to the contract shall be made accordingly by contract modification(s) at the price per questions as quoted herein.

**3.9 EXCEPTIONS**

Offeror shall list any exceptions taken to the terms, conditions, specifications, or other requirements listed herein. Offeror shall reference the RFP section, paragraph, etc., where the exception is taken, a description of the exception taken and the proposed alternative, if any.

**3.9 APPENDICES**

The Offeror may include appendices that should include any other data and/or supplemental information, which may be useful in evaluating the Offeror's proposal.

**3.10 NOTIFICATION OF ANY CONFLICT OF INTEREST**

The Offeror shall advise the State of any existing and/or potential conflicts of interest in the event the Offeror is selected to conduct the BRFSS surveys.

**3.11 OFFER PREPARATION COSTS & DISPOSITION OF OFFERS**

Costs for developing the offers are solely the responsibility of the Offeror whether or not any award results from this solicitation. The State of Hawaii will provide no reimbursement for such costs. All proposals become the property of the State of Hawaii. The successful offer will be incorporated in the resulting contract.

**3.12 PROPOSAL**

Proposals shall NOT be opened publicly and will not be subject to public inspection until after the contract has been signed by all parties and fully executed.

## **SECTION FOUR**

### **EVALUATION CRITERIA**

#### **4.1 GENERAL INFORMATION**

The Evaluation Committee, comprised of at least three (3) State employees selected by the Procurement Officer, will evaluate each proposal in accordance with the five (5) criteria set forth below. The evaluation criteria and corresponding points listed below. The award will be made to the responsive, responsible Offeror whose proposal is determined to be the most advantageous to the State of Hawaii based on the evaluation criteria listed in this section.

Before the technical merits of each proposal are evaluated, the Evaluation Committee shall evaluate each proposal to determine whether it complies with, and is responsive to, the RFP instructions. Proposals shall be initially reviewed for timeliness of submission, completeness, and compliance with the requirements and qualification specified in this RFP. Those offers that do not comply with the requirements of the RFP may be rejected from further consideration. A notice of disqualification shall be sent to those Offerors whose offers are disqualified under this section.

Those proposals meeting compliance review requirements shall be evaluated based on the Offeror's capability to perform the tasks specified herein. Individual values for each of the evaluation criteria shall be assigned, at the sole discretion of the Evaluation Committee.

During the evaluation process of proposals, the Evaluation Committee may also contact any references listed and/or conduct telephone interviews to assess experience as determined appropriate and may also conduct meetings with the proposed project team to assess experience and qualifications. A site visit by members of the Evaluation Committee may be scheduled to verify information provided in the proposal.

During the discussion process, the State will not identify methods for improving or correcting an offer, nor discuss features of other offers. The State will not accept additions to any offer that do not relate to the areas for which information was requested by the State. All accepted responses to these communications shall become part of the Offeror's offer, and thereby part of the contract, if the Offeror is awarded the contract.

#### **4.2 EVALUATION CRITERIA**

The responsive, responsible Offeror is one whose proposal is determined to be the most advantageous to the State of Hawaii, based on the evaluation criteria listed in this section.

**TOTAL NUMBER OF POINTS USED TO SCORE THIS PROPOSAL IS 100****A. General Assessment  
5 points maximum**

The proposal provides evidence that the Offeror understands the work to be performed and has the ability to conduct the data collection project in accordance with the specifications noted in this RFP.

The Offeror demonstrates knowledge, skills, and abilities related to the delivery of the proposed service activities and of the Offeror's broad range of expertise and relevant experience with respect to the DOH objectives in undertaking this study and the scope of work involved.

**B. Work Background Experience  
20 points maximum**

This refers to the ability of the Offeror's organization and staff to meet the terms of the RFP. The written offer will be evaluated for overall survey capabilities of the Offeror including at least three (3) years experience with health survey like BRFSS or similar surveys, as well as, multi-format surveys such as landline telephone, cell phone and mail survey experiences. It is preferred that Offeror is acclimated to Hawaii's diverse cultures demonstrated by at least some years of survey experiences performed in the state.

The qualifications and experience of the staff whom the Offeror intends to assign to the project will also be evaluated. Scoring will be based on the assigned staff members' education and experience, with emphasis on their experience on projects similar to the project described herein.

**C. Technical Requirements  
25 points maximum**

This section should provide evidence that the Offeror is able to implement the Behavioral Risk Factor Surveillance System (BRFSS) methodology that is proposed. The proposal will be scored for the degree of responsiveness to the requirements of the survey stated in this RFP.

Scoring will include the capability to conduct data collection operations of high quality based on the Offeror's description and use of the CATI system, demonstrated ability of survey questionnaire design and programming in CATI system, unobtrusive interviewer monitoring and monitoring equipment, training and supervision of interviewers, ability to follow the sampling design, ability to manage required datasets, documentation, and all aspects of data management as specified in this RFP.

**D. Work Plan & Implementation Plan**  
**30 points maximum**

The Work Plan and the Implementation Plan will be evaluated to insure that the Offeror has critically considered all the data collection and related tasks that need to be completed for the full implementation of BRFSS.

The following items will be evaluated: staffing levels, patterns, procedures, and timeline that the management will develop in order to achieve the project objectives; the use of resources and equipment; and data collection issues requiring troubleshooting in order to meet DOH deadlines.

**E. Cost Proposal**  
**20 points maximum**

- The State will review the narrative budget justification and pricing information and evaluate the applicant's cost proposal and budget expenditure plan that shall include **[10 points]**:
  - Degree to which the cost proposal and budget expenditure plan demonstrates support of the proposed work plan and requirements of the RFP.
  - Degree of competitiveness, reasonableness, and appropriateness of the cost proposal to reflect Offeror's effort to meet requirements of the RFP.
- In converting cost to points, the lowest cost proposal automatically receives the maximum number of points allocated to cost, which is **10 points**. The point allocations for other proposals will be determined as follows:

$$\text{Points} = \frac{\text{Price of the lowest cost proposal} \times 10}{\text{Price of the proposal being rated}}$$

## **4.2 BEST & FINAL OFFERS**

The BRFSS Project Director may request each responsive, responsible *priority-listed* Offeror to prepare and submit a written supplement to its original proposal (best and final offer). The BRFSS Project Director will specify the requirements of the best and final offer (BAFO), if requested. It is anticipated that the format and content of the best and final offer will include the elements set forth in this RFP, *Section Three, Proposal Format and Content*. Any material deviation from this format or the required content may be cause for rejection of the supplemental proposal, as determined in the State's sole discretion.

Best and final offers, if any, will be evaluated by the Evaluation Committee and shall be within the sole judgment and discretion of the Evaluation Committee. Proposals shall be classified initially as acceptable, potentially acceptable or unacceptable. Discussions may be conducted with Offerors who submit proposals determined to be acceptable or potentially acceptable of being selected for award, but proposals may be accepted on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the Offeror's best terms. Prior to discussions, if any, a priority list consisting of responsive, responsible Offerors classified as acceptable or potentially acceptable shall be generated.

If during discussions there is a need for any substantial clarification or change in the RFP, the RFP shall be amended by an addendum to incorporate such clarification or change. Addenda to the RFP shall be distributed only to priority-listed Offerors. Priority listed Offerors shall be permitted to submit BAFO in the form of new proposals or to amended proposals. The date and time for priority-listed Offerors to submit BAFO shall be specified by the State. If a priority-listed Offeror does not submit a notice of withdrawal or another BAFO, the priority-listed Offeror's immediate previous offer will be construed as the BAFO.

A contract may be awarded on the basis of the initial offers received without discussion. Therefore, each initial offer should contain the Offeror's best terms from a comprehensive, technical, and cost/price standpoint. Discussions may be conducted with responsible Offerors who submit proposals determined to be reasonably susceptible of being selected for award. The DOH reserves the right to have the Evaluation Committee request a discussion with an Offeror on less than 72 hours notice for the purpose of clarification to assure full understanding of, and responsiveness to, the RFP requirements, and to facilitate arriving at a contract.

DOH reserves the right to reject any or all proposals, to undertake discussion with more Offerors, and to accept that proposal and/or modified proposal(s) which, in its judgment, will be most advantageous to the State, cost and price and other evaluating factors considered.

### **4.3 CONTRACT AGREEMENT**

The Offeror selected by the Evaluation Committee will cooperate with the State in good faith to promptly execute, and deliver the contract agreement. If for any reason the selected Offeror fails to proceed to the reasonable satisfaction of the State, the State shall have the right to terminate all actions without liability and to enter into final agreement with another Offeror selected by the State.

The Offeror selected will agree to modifications to these provisions or additional provisions that will be mandatory in the final agreement as required by applicable federal or state laws, rules and regulations.



## **SECTION FIVE**

### **SPECIAL PROVISIONS**

#### **5.1 SCOPE**

The State of Hawaii DOH desires to enter into a contract with a qualified organization to furnish services to conduct an Annual Hawaii Behavioral Risk Factor Survey and maintain data collection system for the State of Hawaii DOH. The services that will be rendered shall be in accordance with the Special Provisions, Specifications, and General Terms and Conditions, dated September 1, 1995, which is posted at <http://www2.hawaii.gov/bidfiles/spogtgs.pdf> or in the equivalent revised version as shown in the SPO website General Terms and Conditions link [View AG's General Conditions for Goods&Services, Form AG-008 Rev. 8/29/2008](#)

#### **5.2 TERM OF CONTRACT**

Contractor shall enter into a contract for furnishing and completing specified services for up to thirteen months commencing on or about December 2009.

Unless terminated, the contract shall be extended for not more than five (5) additional twelve-month periods without the necessity of resoliciting, if mutually agreed in writing at least sixty (60) days prior to contract expiration. The contract price for the extended period shall remain the same or lower than the initial price submitted in the proposal, unless changed via a contract modification. Contract modifications shall also consider any changes to the number of surveys and/or sample size.

The Contractor or the State may terminate the extended contract at any time upon sixty (60) days prior written notice.

#### **5.3 CONTRACT ADMINISTRATOR**

For all matters pertaining to the ensuing contract, the BRFSS Project Director or a duly appointed representative from within the DOH is designated as the Contract Administrator and may be contacted at (808) 586-4509. The Contract Administrator and/or other DOH personnel will be available to provide support to ensure that the survey begins on or about January 2010.

#### **5.4 REQUIRED REVIEW**

The Offeror shall carefully review this solicitation for defects and questionable or objectionable material. Comments concerning defects and objectionable material must be made in writing and received by the BRFSS Project Director at least ten (10) days prior to the proposal due date. This will allow issuance of any necessary amendments. It will also help prevent the opening of a defective solicitation and exposure of the Offeror's proposal upon which award could not be made.

## 5.5 SUBMISSION OF PROPOSAL

The submission of a proposal packet shall constitute an incontrovertible representation by the Offeror of compliance with every requirement of this RFP, unless exceptions are taken in accordance with Section 3.8, Exceptions, and that the RFP documents are sufficient in scope and detail to indicate and convey reasonable understanding of all terms and conditions of the performance of the work.

Before submitting a proposal, each Offeror must:

- Examine the solicitation documents thoroughly. Solicitation documents include this RFP, any attachments, and any other relevant documentation.
- Become familiar with State, county, and federal laws, ordinances, rules, and regulations that may in any manner affect cost, progress, or performance of the work.

## 5.6 ECONOMY OF PRESENTATION

Proposals shall be prepared in a straightforward and concise manner, in a format that is reasonable, consistent and appropriate to the purpose. Emphasis shall be on completeness and clarity of content. If any additional information is required by the State regarding any aspect of the Offeror's proposal, it shall be provided within two (2) business days.

## 5.7 CONFIDENTIAL INFORMATION

The Offeror shall designate in writing to the BRFSS Project Director those portions of its proposal that contain trade secrets or other proprietary data that are to remain confidential subject to §3-122-58, HAR, in the case of an RFP. The Offeror shall state in its written communication to the BRFSS Project Director, the reason(s) for designating the material as confidential, for example, trade secrets. The Offeror shall submit the material designated as confidential in such manner that the material is readily separable from the proposal in order to facilitate inspection of the non-confidential portion of the offer. *Price is not considered confidential and will not be withheld.*

If a request is made to inspect the confidential material, the inspection shall be subject to written determination by the Office of the Attorney General in accordance with Chapter 92F, HRS. If it is determined that the material designated as confidential is subject to disclosure, the material shall be open to public inspection, unless the Offeror protests under Chapter 3-126, HAR. If the request to inspect the confidential material is denied, the decision may be appealed to the State's Office of Information Practices in accordance with §92F-15.5, HRS.

Offeror shall request in writing nondisclosure of designated trade secrets or other proprietary data to be confidential. Such data shall accompany the proposal, be

clearly marked, and shall be readily separable from the proposal in order to facilitate eventual public inspection of the non-confidential portion of the proposal. Pursuant to Section 3-122-58, HAR, the head of the purchasing agency or designee shall consult with the Attorney General and make a written determination in accordance with Chapter 92F, HRS. If the request for confidentiality is denied, such information shall be disclosed as public information, unless the person appeals the denial to the Office of Information Practices in accordance with Section 92F-42(12), HRS.

## **5.8 CANCELLATION OF RFP & PROPOSAL REJECTION**

The DOH reserves the right to cancel this RFP and to reject any and all proposals in whole or in part when it is determined to be in the best interest of the State.

## **5.9 OPENING OF SEALED PROPOSALS**

Proposals shall not be opened publicly, but shall be opened in the presence of two or more procurement officials. The register of proposals and Offerors' proposals shall be open to public inspection after the contract is signed by all parties. All proposals and other material(s) submitted by Offerors become the property of the State and may be returned only at the State's option.

## **5.10 OFFER ACCEPTANCE PERIOD**

The State's acceptance of offer, if any, will be made within sixty (60) calendar days after the opening of proposals. Prices quoted by the Offeror shall remain firm for the sixty (60) day period as provided in Section 3.2 of the GTC.

## **5.11 PROTEST**

A protest based upon the content of the solicitation shall be submitted in writing within five (5) working days after the aggrieved person(s) knows or should have known of the facts giving rise thereto; provided further that the protest shall not be considered unless it is submitted in writing prior to the bid opening date. A protest of an award or proposed award shall be submitted within five (5) working days after the posting of award of the contract. The notice of award letter(s), if any, resulting from this solicitation shall be posted at the DOH Bulletin Board at 1250 Punchbowl Street, Room 262, Honolulu, Hawaii 96813. Any protest pursuant to §103D-701, HRS, and Section 3-126-3, HAR, shall be submitted in writing to the DOH Director, 1250 Punchbowl Street, Honolulu, Hawaii 96813.

## **5.12 CONTRACT EXECUTION**

Successful Offerors shall be required to enter into a formal written contract. No performance or payment bond is required for this contract. The State of Hawaii is not liable for any work, contract, costs, expenses, loss of profits, or any damages whatsoever incurred by the Contractor prior to the official starting date.

### **5.13 REQUIRED CERTIFICATION**

Prior to awarding the contract, the State will require certification of the following insurance coverage, if applicable:

- Workers' Compensation
- Temporary Disability
- Unemployment Insurance
- Prepaid Health Care

### **5.14 WAGE CERTIFICATE**

Refer to Section 2.8 of the GTC. The Offeror shall complete and submit the attached Wage Certificate by which the Offeror certifies that services required would be performed pursuant to §103-55, HRS. (See Attachment B.)

### **5.15 CONTRACT MODIFICATION**

The contract may be modified only by written document signed by the DOH Chief Procurement Officer and Contractor personnel authorized to sign contracts on behalf of the Contractor.

During the course of this contract, the Contractor may be required to perform additional work. That work will be within the general scope of the initial contract. When additional work is required, the DOH BRFSS Contract Administrator will provide the Contractor a written description of the additional work and request the Contractor to submit a firm time schedule for accomplishing the additional work and a firm price for the additional work.

The Contractor will not commence additional work until the DOH BRFSS Contract Administrator has secured the required State approvals necessary for the amendment and an executed written contract amendment or contract modification has been issued.

### **5.16 INVOICING AND PAYMENT**

Upon satisfactory completion of each month's interview session and submittal of monthly Survey Data Set, Call History Dataset and Monthly Status Report (refer to Section 2.3, Scope of Work; Section 2.7, Quality Control Procedure; and Section 2.10, Reporting Systems and Deliverables), an original plus three (3) copies of the invoice, in the amount of 1/12 of the total contract amount, shall be sent to:

State of Hawaii  
Department of Health  
Attention: Florentina Reyes-Salvail  
P. O. Box 3378  
Honolulu, HI 96801

Contractor shall not submit an invoice for payment prior to completion of the monthly requirement tasks. If there is a financial penalty imposed in the month, the payment will subtract the financial penalty. (See Section 2.7: Financial Penalty, pages S-11 and S-12.) Deviation from the 1/12 of the contract amount shall be allowed when there are modifications within the survey such as sets of question inserts that need to be implemented only for a period of months. In this case, invoice amount is adjusted for the additional services rendered during the period.

Section 103-10, HRS, provides that the State shall have thirty (30) calendar days after receipt of invoice and satisfactory completion of contract to make payment. For this reason, the State will reject any offer submitted with a condition requiring payment within a shorter period. Further, the State will reject any offer submitted with a condition requiring interest payments greater than that allowed by Section 103-10, HRS, as amended.

The State will not recognize any requirement established by the Contractor and communicated to the State after award of the contract, which requires payment within a shorter period or interest payment not in conformance with statute.

A tax clearance certificate, not over two months old, with an original green certified copy stamp, must accompany the invoice for final payment on the contract. The tax clearance submitted with your invoice for final payment requires both DOTAX and IRS approvals. The clearance submitted with this RFP is not acceptable for final payment purposes. You must obtain a new tax clearance from DOTAX and IRS, and it must be an original.

## **5.17 SERVICING**

The Contractor shall respond in writing within five (5) days to any problems and/or complaints received from DOH.

## **5.18 REMOVAL OF CONTRACTOR'S EMPLOYEES**

Contractor agrees to remove any of its employees from services rendered and to be rendered to the State, upon request by the Contract Administrator.

## **5.19 INSPECTION**

All work done shall be subject to inspection and approval by the Contract Administrator, so as to ascertain that the services rendered are in accordance with requirements and intentions of the Specifications and Special Provisions.

## **5.20 LIQUIDATED DAMAGES**

Refer to the General Terms and Conditions. Liquidated damages is fixed at the sum of FIVE HUNDRED DOLLARS (\$500.00) for each and every calendar day

the Contractor fails to perform in whole or in part any of his obligations specified hereunder.

## **5.21 RIGHTS AND REMEDIES**

In the event the Contractor fails, refuses, or neglects to perform the services in accordance with the requirement of these Special Provisions, the Specifications, and the General Terms and Conditions herein, in addition to the recourse stated in the General Terms and Conditions, the State reserves the right to purchase in the open market, a corresponding quantity of the services specified herein and to deduct from any moneys due or that may thereafter become due the Contractor, the difference between the price named in the contract and the actual cost thereof to the State. In case any money due the Contractor is insufficient for said purpose, the Contractor shall pay the difference upon demand by the State. The State may utilize all other remedies provided by law.

## **5.22 ADDITIONS & EXCEPTIONS TO THE GTC**

**Approvals.** Any agreement arising out of this offer is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order, or other directive.

**Cancellation of Solicitations and Rejection of Offers.** The solicitation may be cancelled or the offers may be rejected, in whole or in part, when in the best interest of the purchasing agency, as provided in §3-122-95 through §3-122-97, HAR.

**GTCs Not Applicable.** Sections 2.11 and 2.14 of the GTC that apply specifically to the Request For Proposals (RFP) method of source selection are not applicable to RFPs. Also §2.10 and §2.13 which apply specifically to the RFP method of source selection are not applicable to RFPs.

**Records Retention.** The Contractor and any subcontractors shall maintain the books and records that relate to the Agreement and any cost or pricing data for three (3) years from the date of final payment under the Agreement.

**Preference for Hawaii Products.** GTC §3.1(B), paragraphs one and two only are rescinded and replaced with the following: "A purchasing agency shall review all specifications in a bid or proposal for purchase from the Hawaii products (HP) list where these products are available; provided that the products: Meet the minimum specifications and the selling price f.o.b. jobsite; unloaded, including applicable general excise tax and use tax, does not exceed the lowest delivered price in Hawaii f.o.b. jobsite; and unloaded, including applicable general excise tax and use tax, does not exceed the lowest delivered price of a similar non-HP by more than: three per cent where class I HP are involved; five per cent where class II HP are involved; or ten percent where class III HP are involved. All persons submitting bids or proposals to claim HP preference shall designate in

their bids which individual product and its price is to be supplied as a HP. Where a bid or proposal contains both Hawaii and non-HP, then for the purpose of selecting the lowest bid or purchase price only, the price bid or offered for a HP item shall be decreased by subtracting therefrom: three per cent, five per cent, or ten per cent for the class I, class II, or class III HP items bid or offered, respectively. The lowest total bid or proposal, taking the preference into consideration, shall be awarded the contract unless the bid or offer provides for additional award criteria. The contract amount of any contract awarded, however, shall be the amount of the bid or price offered, exclusive of the preferences.”

**Printing Preference.** GTC §3.1(C), paragraphs one and two are rescinded and replaced with the following: “All bids or proposals submitted for a printing, binding, or stationery contract in which all work will be performed in-state, including all preparatory work, presswork, bindery work, and any other production-related work shall receive a fifteen per cent preference for purposes of bid or proposal evaluation. Where bids or proposals are for work performed in state and out-of-state, then for the purpose of selecting the lowest bid or evaluating proposals submitted only, the amount bid or proposed for work performed out-of-state shall be increased by fifteen per cent. The lowest total offer, taking the preference into consideration, shall be awarded the contract unless the solicitation provides for additional award criteria. The contract amount awarded, however, shall be the amount of the price offered, exclusive of the preference.

**Bond Forms.** The bond forms, Exhibits B through H, are replaced by the forms issued by the Procurement Policy Board Directive No. 1998-03, dated November 17, 1998, included herein by reference and made a part hereof. Three new bond forms issued as part of the directive, “Combination Performance and Payment Bond,” “Performance Bond (Surety) for Supplemental Agreement for Goods and Services,” and “Performance Bond for Supplemental Agreement for Goods and Services,” are made a part of the GTC. Copies of the bond forms are available at the SPO.

**Nondiscrimination.** No person performing work under this Agreement, including any subcontractor, employee, or agency of the Contractor, shall engage in any discrimination that is prohibited by any applicable federal, state, or county law.

**Correctional Industries.** Goods and services available through Correctional Industries (CI) programs may be the same or similar to those awarded by competitive sealed bids or proposals. Agencies participating in SPO requirements (price list) contracts may also procure directly from CI and shall not be considered in violation of the terms and conditions of any SPO contract.

**Certification of Offeror Concerning Wages, Hours and Working Conditions of Employees Supplying Services.** Refer to §2.8 of the GTC that addresses §103-55, HRS. Section 103-55, amended by Act 149, 1999 Hawaii Session Laws, now applies to service contracts in excess of \$25,000 and also excludes professional personnel.

**Preparation of Offer.** General Terms and Conditions Section 2.5, paragraph four as found in <http://www2.hawaii.gov/bidfiles/spogtgs.pdf> is rescinded and replaced with the following:

“An Offeror may submit only one offer in response to a solicitation. If an Offeror submits more than one offer in response to a solicitation, then all such offers shall be rejected. Similarly, an Offeror may submit only one offer for each line item (if any) of a solicitation. If an Offeror submits more than one offer per line item, then all offers for that line item shall be rejected.”

**Managed Process Review.** Any contract for goods, services, or construction entered into after July 20, 1998 and prior to July 1, 2001 with an expiration date beyond June 30, 2001 shall, during its term, be subject to a single review by the State, or county, where applicable, pursuant to the managed process in Part III, Section 6 of Act 230, Session Laws of Hawaii, 1998. Pursuant to the managed process review, the contract may be canceled, renegotiated, continued, or extended by the State, or county, where applicable. The contract shall continue to be exempt from civil service laws for the duration of the contract even if a managed process is not implemented.



**ATTACHMENT A  
OFFER FORM - 1**

To: Department of Health  
BRFSS Project Director  
1250 Punchbowl Street, Room 262  
Honolulu, Hawaii 96813

We propose to furnish and deliver any and all of the deliverables and services named in the Request for Sealed Proposals (RFP) for services to conduct an annual Hawaii Behavioral Risk Factor Surveys for the Department of Health, RFP No. BRFSS-09-001.

It is understood that this proposal constitutes an offer.

We have carefully read and understand the terms and conditions specified in this RFP and in the General Terms and Conditions dated (September 1, 1995), and hereby submit the following proposal to perform the work specified herein, all in accordance with the true intent and meaning thereof.

We further understand and agree that by submitting this proposal, 1) declare this proposal offer is not in violation of Chapter 84, Hawaii Revised Statutes, concerning prohibited State contracts, and 2) certify that the price(s) submitted was (were) independently arrived at without collusion.

Respectfully submitted,

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Exact Legal Name of Offeror

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Authorized Signature (Original)

---

Date

---

Name (Type/Print) & Title

---

Telephone No.

---

Fax No.

---

E-mail Address

---

Street Address, City, State, Zip Code

---

Mailing Address, City, State, Zip Code (if different from location above)

---

Payment Address, City, State, Zip Code (if other than street/mailling address above)

---

Hawaii General Excise Tax License I.D. No.

---

Social Security or Federal I.D. No.

Offeror is: \_\_\_\_ Individual \_\_\_\_ Partnership \_\_\_\_ Corporation \_\_\_\_ Joint Venture

If Offeror shown above is a “dba” or a “division” of a corporation, furnish the exact legal name of the corporation under which the contract, if awarded, will be executed:

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State of incorporation: Hawaii \_\_\_\_ \*Other \_\_\_\_\_

\*If “other”, is corporate seal available in Hawaii? \_\_\_\_ Yes \_\_\_\_ No

Other Requirement:

- Attach to this page evidence of authority of the above officer to submit a proposal and an offer on behalf of the corporation, which also lists the names and addresses of the other officers.

9/19/00

**WAGE CERTIFICATE  
FOR SERVICE CONTRACTS**  
(See Special Provisions)

Subject: IFB/RFP No.: BRFSS-09-001Title of IFB/RFP: FOR FURNISHING SERVICES TO CONDUCT AN  
ANNUAL HAWAII BEHAVIORAL RISK FACTOR SURVEYS

Pursuant to Section 103-55, Hawaii Revised Statutes (HRS), I hereby certify that if awarded the contract in excess of \$25,000, the services to be performed will be performed under the following conditions:

1. All applicable laws of the federal and state governments relating to workers' compensation, unemployment compensation, payment of wages, and safety will be fully complied with; and
2. The services to be rendered shall be performed by employees paid at wages or salaries not less than the wages paid to public officers and employees for similar work, with the exception of professional, managerial, supervisory, and clerical personnel who are not covered by Section 103-55, HRS.

I understand that failure to comply with the above conditions during the period of the contract shall result in cancellation of the contract, unless such noncompliance is corrected within a reasonable period as determined by the procurement officer. Payment in the final settlement of the contract or the release of bonds, if applicable, or both shall not be made unless the procurement officer has determined that the noncompliance has been corrected; and

I further understand that all payments required by Federal and State laws to be made by employers for the benefit of their employees are to be paid in addition to the base wage required by section 103-55, HRS.

Offeror \_\_\_\_\_

Signature \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

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**Appendix B****Policy Memo 2001.1, Version 5 (February 21, 2002)****BRFSS Disposition Codes**

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**I. Introduction**

Policy Memo 2001.1 is effective starting with the 2002 data year. It replaces Policy Memos 2000.3 and 2000.4 and the “Interpretations of BRFSS Disposition Rules” document produced by the BRFSS Data Collection Methods Committee.

This document presents a minimum set of final and interim codes for use with the BRFSS survey. States<sup>1</sup> may use more detailed interim and final disposition codes internally as long as the interim disposition codes used are subsets of those listed below and the interim and final disposition codes sent to the Behavioral Surveillance Branch (BSB) are those listed below. The one, major, exception is that states using the WinCATI questionnaire supported by BSB can use only the interim and final codes specified below. States may also treat the callback rules as minimal standards and adopt more strenuous efforts to complete interviews.

Section II discusses the criteria used to decide on final and interim disposition codes. Section III describes the process for assigning final disposition codes that require taking into account the outcomes from more than one attempt. Section IV presents the definitions of and callback rules for final disposition codes. Section V presents the definitions of and callback rules for interim disposition codes. Finally, Section VI describes the rules for assigning particular final disposition codes from specific patterns of interim disposition codes.

**II. Criteria for the Adoption of Final Disposition Codes**

**Note: The term “respondent” used without a preceding adjective of “selected” refers to anyone who answers the telephone.**

Final disposition codes serve at least four purposes for four usually distinct groups of people. All four purposes relate to data quality but from different perspectives.

From a research perspective, the major concern is the potential for bias in the data. Researchers are most interested in response rates, which, conceptually, are the number of completes divided by an estimate of the number of eligible households in the sample. From this perspective, telephone numbers for which it is unknown whether or not they ring into an eligible household should be assigned disposition codes that reflect as much information as is known about the telephone number. These codes should distinguish as much as possible telephone numbers that have a large probability of ringing into an eligible household from those that have a small probability of ringing into an eligible household.

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<sup>1</sup> “States” in this document includes the District of Columbia, Guam, Puerto Rico, and the Virgin Islands.

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

From a sponsor's perspective, the major concern is adherence to protocol. (A sponsor in this context is any organization with a financial stake in the BRFSS survey.) A sponsor wants to know how good a job the data collector is doing. Even conceptually, however, response rates should be affected by the characteristics of the target population in addition to the performance of the data collector. (And in practice, response rates are also affected by sample design and characteristics of the telephone system.) But the data collector has control only over its performance. Protocol defines the standards that the data collector should meet and those standards have been designed to produce acceptable quality data. From this perspective, disposition codes should distinguish between telephone numbers to which different protocols apply. For example, the difference between a refusal from a selected respondent and a postponement from a selected respondent that never results in a completed interview is important from this perspective because different callback rules apply. This same difference, however, is unimportant from a potential-for-bias perspective because they are both incompletes from an eligible household.

From a data collection perspective, the major concern is operational control. Although adherence to protocol is part of operational control, efficiency and interviewer performance are more important than from other perspectives. For example, the distinction between "Language problem after respondent selection" and "Physical or mental impairment after respondent selection" is unimportant from other perspectives but is important from an operational perspective.

From a weighting perspective, the major concern is to identify the amount of nonresponse that occurs at each point at which nonresponse is possible. The collection of information on the point in the interview process at which a nonresponse occurs allows explicit adjustment for nonresponse at each point. This, in turn, should lead to more accurate estimates of statistical parameters, such as means and regression coefficients. From a sponsor's perspective, how much nonresponse occurs each point at which it is possible is less important than the total amount of nonresponse.

The need to satisfy at least four distinct purposes that imply different criteria for the distinctions among final disposition codes, has resulted in the adoption of thirty-one final disposition codes.

### **III. The Process for Assigning Final Disposition Codes From Interim Disposition Codes**

When the BRFSS first began in 1984, most states conducted the survey on paper and there were only eleven final disposition codes. In such a situation, it was reasonable to expect the interviewer to be aware of the call history of each piece of sample and to assign a final disposition accordingly. With the adoption of CATI packages in all BRFSS states and advances in the capabilities of CATI packages, a different model for assigning disposition codes is now possible. For many years, DOS Ci3 CATI and now WinCATI have assigned final disposition codes to records with fifteen or more attempts. Over the past few years, BRFSS has been moving even further towards a model where the interviewer assigns a disposition code (which may be interim or final) after each attempt strictly based on what happened on that attempt only. For

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

example, in data year 2001, BRFSS protocol for the first time specified the assignment of final disposition codes based on patterns of previously assigned interim disposition codes. It was envisioned that at least some states would program the assignment of final disposition codes and that interviewers would be assigning final disposition codes only in cases where the outcome of a single call attempt dictated a final disposition, for example a complete or a non-working number.

In 2002, we are taking further steps towards the adoption of a model where the interviewer assigns a disposition code (which may be interim or final) after each attempt based strictly on what happened on that attempt only. If an interim disposition code is assigned, then the CATI package reviews all the interim disposition codes for that telephone number to determine if a final disposition code is warranted. For example, if a respondent (non-irately) refuses to continue, the interviewer would code the attempt as an interim refusal. The CATI package then looks to see if the refusal was a second refusal and, if so, at what point during the interview process the refusal was made. It then assigns the appropriate final disposition code and retires the number. This process is run after each attempt that is given an interim disposition.

There are at least three advantages to such an approach: (1) The interviewer needs to remember a smaller number of interim and final disposition codes than would otherwise be the case. (2) The interviewer assigns only those final disposition codes that depend on what happened in a single attempt. Thus, the interviewer does not need to be aware of the call history of a number to assign a final disposition code. (Of course, the interviewer may still need to be aware of the call history of a number in order to try to complete an interview.) (3) Human errors in the assignment of final disposition codes based on interim disposition codes are eliminated (assuming correct programming). The disadvantages are that it will probably require additional programming to implement the approach and that not all CATI packages may be capable of implementing it.

Beginning with data year 2002, WinCATI will be programmed to implement this approach. Please note that WinCATI users of the BSB-prepared questionnaire will be able to call a number more than 15 times only by scheduling an appointment on the fifteenth and each subsequent call attempt.

The interim disposition codes are the minimal set implied by the final disposition codes and two additional codes – Null attempt and Requires supervisor attention – that are useful for operational purposes.

### IV. Final BRFSS Disposition Codes

#### 1. Interview

##### **110 Complete**

*Definition:* Selected respondent meets the criteria for a partial complete and has completed the interview through the last question.

*Callback Rules:* Give final disposition upon completion of interview.

##### **120 Partial Complete**

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

*Definition:* Sex and three or more questions from age, race, Hispanic origin, marital status, education, employment status, county code, and “Do you have more than one telephone number in your household?” have been answered with a response other than Don’t know/Not sure (7, 77, or 777) or Refused (9, 99, or 999).

*Callback Rules:* Make a second attempt to fully complete the interview after first refusal or termination. Give final disposition if second attempt to fully complete the interview is unsuccessful. Give final disposition on the fifteenth or subsequent call attempt even if there is only one occurrence of a refusal or termination.

## 2. Non-Interview, Household With Eligible Respondent

**210 Termination within questionnaire**

*Definition:* A hang-up or termination after the first question in the core has been asked and it or a subsequent question has received a response other than Don’t know/Not sure or Refused. The selected respondent has not answered enough questions for the interview to qualify as a 120 Partial complete.

*Callback Rules:* Give final disposition after second refusal or termination or when a first-time refusal or termination will not be called a second time because of an irate respondent. Give final disposition on the fifteenth or subsequent call attempt even if there is only one occurrence of a refusal or termination.

**220 Refusal after respondent selection**

*Definition:* A hang-up or termination after respondent selection but before respondent has given a response other than Don’t know/Not sure or Refused to one or more questions in the core. The refusals can come from any adult in the household and the initial refusal could have come before respondent selection. An automated message to not call the number again that is not in response specifically to that call attempt does not count as a refusal. Such an outcome should receive an answering machine or technological barrier interim code.

*Callback Rules:* Give final disposition after second refusal or when a first-time refusal will not be called a second time because of an irate respondent. On the fifteenth or subsequent call attempt, give final disposition even if there is only one occurrence of a refusal.

**230 Selected respondent never reached or was reached but did not begin interview during interviewing period**

*Definition:* Selected respondent was never spoken to or was spoken to and asked to be called again later one or more times. Includes cases where the selected respondent was away from residence for part of the interviewing period.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

**240 Selected respondent away from residence during the entire interviewing period**

*Definition:* Selected respondent is expected to be away from residence during the entire interviewing period, for example, because of travel or a hospital stay.

*Callback Rules:* Give final disposition when informed of absence.

**250 Language problem after respondent selection**

*Definition:* After respondent selection, the selected or another respondent does not speak English or another language for which an interviewer and translated questionnaire are available well enough to be interviewed.

*Callback Rules:* Give final disposition (1) the first time a selected respondent is contacted or is described by someone else as not speaking English or another language for which an interviewer and translated questionnaire are available well enough to be interviewed or (2) the second time a respondent who does not speak English well enough to answer the screening questions is contacted and there is not a translated questionnaire and interviewer available for the respective language. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

**260 Selected respondent physically or mentally unable to complete an interview during the entire interviewing period**

*Definition:* After respondent selection, the selected or another respondent has a physical or mental condition that prevents the completion of an interview and that condition is expected to last through the entire interviewing period. This includes a temporary condition, such as bereavement, that will last beyond the interviewing period. (For conditions not expected to last through the entire interviewing period, schedule an appointment and keep trying.)

*Callback Rules:* Give final disposition (1) the first time a selected respondent is contacted or is described by someone else as physically or mentally unable to complete an interview during the entire interviewing period or (2) the second time a respondent who is physically or mentally impaired is contacted. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

**270 Hang up or termination after number of adults recorded but before respondent selection**

*Definition:* Respondent hangs up or terminates call attempt after answering the number of adults question but before answering the number of men and number of women questions. **This differs from 280 in that the respondent explicitly refuses.**

*Callback Rules:* Give final disposition after second hang-up or termination or when a first-time hang-up or termination will not be called a second time because of an irate respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

**280 Household contact after number of adults recorded but before respondent selection**

*Definition:* Respondent answered the number of adults question and asked to be called again later one or more times but the number of men and number of women were never



## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

determined. On the surface, this is a postponement that was never re-started but may be an implicit refusal. **This differs from 270 in that the respondent never explicitly refuses.**

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

### 3. Non-Interview, Eligibility Undetermined

#### **305 Household members away from residence during entire interviewing period**

*Definition:* A house sitter, house cleaner, or other non-member of a household states that all of the household members will be away from the residence during the entire interviewing period.

*Callback Rules:* Give final disposition when informed.

#### **310 Hang-up or termination, housing unit, unknown if eligible respondent**

*Definition:* A respondent hangs-up or terminates a call attempt before answering the number of adults question. This differs from 315 in that the respondent explicitly refuses.

*Callback Rules:* Give final disposition after second hang-up or termination or when a first-time hang-up or termination will not be called a second time because of an irate respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

#### **315 Household contact, eligibility undetermined**

*Definition:* A respondent verified that the telephone number reaches a private residence and asked to be called again later one or more times but the number of adults in the household was never determined. On the surface, this is a postponement that was never re-started but may be an implicit refusal. This differs from 310 in that the respondent never explicitly refuses.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

#### **320 Language problem before respondent selection**

*Definition:* A respondent who does not speak English or another language for which an interviewer and translated questionnaire are available well enough to answer the screening questions answers the telephone twice before respondent selection. Give final disposition even if other respondents who do not present a language problem have answered the telephone.

*Callback Rules:* Give final disposition after second contact with a respondent who does not speak English well enough to answer the screening questions and there is not a translated questionnaire and interviewer available for the respective language. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

**325 Physical or mental impairment before respondent selection**

*Definition:* A respondent whose physical or mental impairment prevents him or her from completing the screening questions answers the phone twice before respondent selection. Give final disposition even if other respondents without a physical or mental impairment have answered the telephone.

*Callback Rules:* Give final disposition after second contact with a physically or mentally impaired respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

**330 Hang-up or termination, unknown if private residence**

*Definition:* A respondent hangs-up or terminates a call attempt before confirming that the telephone number rings to a private residence.

*Callback Rules:* Give final disposition after second hang-up or termination or when a first-time hang-up or termination will not be called a second time because of an irate respondent. If the first occurrence is on the fifteenth or subsequent call attempt, give final disposition.

**332 Contact, unknown if private residence**

*Definition:* A respondent did not verify that the telephone number reaches a private residence but asked to be called again later one or more times. On the surface, this is a postponement that was never re-started but may be an implicit refusal. This differs from 330 in that the respondent never explicitly refuses.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

**335 Telephone answering device, message confirms private residential status**

*Definition:* One or more call attempts reached an answering machine but no person was ever spoken to. The message confirms that the telephone number reaches a private residence by using the words, "home," "house," "family," "residence" or a family name.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

**340 Telecommunication technological barrier, message confirms private residential status**

*Definition:* One or more call attempts reached a call blocking message, a message asking the caller to identify himself or herself, or other automated message, but no person was ever spoken to. A message confirms that the telephone number reaches a private residence by using the words, "home," "house," "family," "residence" or a family name.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

**345 Telephone answering device, not sure if private residence**

*Definition:* One or more call attempts reached an answering machine but no person was ever spoken to. The message leaves open the possibility that the telephone number is reaching a private residence but it does not explicitly state so.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

**350 Telecommunication technological barrier, not sure if private residence**

*Definition:* One or more call attempts reached a call blocking message, a message asking the caller to identify himself or herself, or other automated response, but no person was ever spoken to. There is no message or a message leaves open the possibility that the telephone number is reaching a private residence but it does not explicitly state so.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

**355 Telephone number has changed status from household or possible household to non-working during the interviewing period**

*Definition:* On the second or subsequent call attempt, a telephone number is responding with a message indicating that the telephone number called is a non-working number or has been changed and there is at least one previous interim disposition of 505, 510, 515, 520, 525, 530, 535, or 540. (If a “number changed” recording is encountered the first time that a telephone number is called, that number should received a final disposition of 450 Non-working/disconnected number.)

*Callback Rules:* Give final disposition when notified.

**360 No answer**

*Definition:* Among telephone numbers which no person or device ever answered, half or more of the call attempts resulted in a normal telephone ring that no one answered.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

**365 Busy**

*Definition:* Among telephone numbers which no person or device ever answered, more than half of the call attempts resulted in a normal busy signal.

*Callback Rules:* Give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least 10 minutes apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls. If possible, contact the telephone company repair service to verify the number is in service.

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

**370 On never call list**

*Definition:* To be assigned to (those few) telephone numbers that the BRFSS State Coordinator has determined, before calling begins, should not be called.

*Callback Rules:* This disposition should never be assigned to a telephone number with one or more call attempts.

## 4. Not Eligible

**405 Out-of-state**

*Definition:* The telephone number rings out-of-state.

*Callback Rules:* Give final disposition when informed. This code should take priority over other possible final disposition codes.

**410 Household, no eligible respondent**

*Definition:* No one 18 years of age or older uses the telephone. To be assigned when no one in the household is 18 years of age or older or the telephone number is used by a teen under the age of 18 and the parents do not use that phone.

*Callback Rules:* Give final disposition when informed.

**420 Not a private residence**

*Definition:* The person answering the phone or an answering machine identifies the telephone number as a business, an institution (government office, educational facility, dormitory, nursing home, hospital, prison), a group home (fraternity or sorority, half-way house, shelter), a timeshare or vacation home at which no one is living for 30 days or more at the time of contact, Efax service, a pager, a cellular phone, or a dedicated fax/data/modem line that s/he answered to identify as such.

*Callback Rules:* Give final disposition when informed.

**430 Dedicated fax/data/modem line with no human contact**

*Definition:* A telephone number used only as a fax, data, or modem line.

*Callback Rules:* Give final disposition only after (a) at least 2 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 6 call attempts with at least one interim disposition code of 560 Fax/modem/data and all other disposition codes are 550 No answer, 555 Busy, 565 Fast busy, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)

**440 Fast busy**

*Definition:* A telephone number with at least one disposition of 565 Fast busy and all other dispositions are 550 No answer, 555 Busy, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)

*Callback Rules:* Give final disposition only after (a) at least 2 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 6

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

call attempts with at least one interim disposition code of 565 Fast busy and all other disposition codes are 550 No answer, 555 Busy, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)

**450 Non-working/disconnected number**

*Definition:* Usually recognized by a tritone, a recording indicating that the telephone number is non-working, a number that consistently rings to an incorrect number, or a number that cannot be verified by a respondent. If a 450 is assigned on a second or subsequent attempt, the CATI system or a post-data collection program should check to see if there is at least one previous interim disposition of 505, 510, 515, 520, 525, 530, 535, or 540. If there is, then the record should receive a final disposition of 355 Telephone number has changed status from household or possible household to non-working during the interviewing period. If the current status of the telephone number is in doubt, give an interim disposition of 570 Possible non-working number or call operator or repair service. After at least 15 call attempts, assign if all dispositions are 545 Phone number temporarily out of service, 570 Possible non-working number, or 575 Circuit busy. (Attempts receiving interim disposition codes of 580 Null attempt or 585 Requires supervisor attention should not count as call attempts for this purpose.)

*Callback Rules:* Give final disposition when the above criteria are met. If 15 call attempts are required, give final disposition only after (a) at least 5 calling occasions (each consisting of no more than 3 attempts at least one hour apart) for a minimum total of 15 call attempts, and (b) the 15 or more call attempts consist of at least 3 weekday calls, 3 weeknight calls, and 3 weekend calls.

**V. Interim Disposition Codes****505 Refusal: hang-up or termination**

*Definition:* Respondent hangs up or refuses to continue the interview at any time during the call attempt from immediately after pick-up to any time before answering the last survey question.

*Callback Rules:* Give interim disposition when this situation occurs. Schedule callback for as long as practical up to two weeks after initial refusal.

**510 Appointments**

*Definition:* Respondent asks for a callback at some other time or a child answers the phone and does not get an adult to speak to the interviewer.

*Callback Rules:* Schedule a callback for an appropriate time.

**515 Language problem**

*Definition:* A respondent other than one known to be the selected respondent does not speak English or another language for which an interviewer and translated questionnaire are available well enough to respond appropriately.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one day.

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

**520 Physical or mental impairment**

*Definition:* A respondent other than one known to be the selected respondent cannot respond appropriately because of a mental or physical impairment.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one day.

**525 Answering machine, message confirms residential status**

*Definition:* An answering machine gives a message confirming that the telephone number rings to a private residence by using the words, “home,” “house,” “family,” “residence” or a family name in the message.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

**530 Technological barrier other than answering machine, message confirms residential status**

*Definition:* A device other than an answering machine gives a message confirming that the telephone number rings to a private residence by using the words, “home,” “house,” “family,” “residence” or a family name in the message.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

**535 Answering machine, not sure if private residence**

*Definition:* An answering machine gives a message that leaves open the possibility that the telephone number is reaching a private residence.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

**540 Technological barrier other than answering machine, not sure if private residence**

*Definition:* A device other than an answering machine gives a message that leaves open the possibility that the telephone number is reaching a private residence.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

**545 Phone number temporarily out of service**

*Definition:* A recorded message states that the telephone number is temporarily out of service

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one day.

**550 No answer**

*Definition:* A normal telephone ring that no one answers.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

**555 Busy**

*Definition:* A normal busy signal.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least ten minutes.

**560 Fax/data/modem**

*Definition:* An electronic screeching sound.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

**565 Fast busy**

*Definition:* A faster than normal busy signal.

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

**570 Possible non-working number**

*Definition:* A noise or other response that may indicate a non-working number.

*Callback Rules:* Phone telephone company immediately or give interim disposition when this situation occurs and call back after an interval of at least one hour.

**575 Circuit busy**

*Definition:* A recorded message states that "All circuits are busy."

*Callback Rules:* Give interim disposition when this situation occurs. Call back after an interval of at least one hour.

**580 Null attempt**

*Definition:* The number came up on an interviewer's screen but is not attempted.

*Callback Rules:* Give interim disposition when this situation occurs. The supervisor should delete the call attempt information on a null attempt before the telephone number is attempted again. Do not count as one of the up to fifteen attempts. Call back as appropriate.

**585 Requires supervisor attention**

*Definition:* An interviewer encounters an unusual situation that requires intervention by a supervisor.

*Callback Rules:* Give interim disposition when this situation occurs. The supervisor should replace the 585 interim disposition code with an appropriate interim or final disposition code before the telephone number is attempted again. Call back as appropriate.

**VI. Assignment of Final Disposition Based on Interim Dispositions**

In the process described earlier, after each call attempt where the interviewer has assigned an interim disposition code, the CATI package reviews all the interim disposition codes that the telephone number has received and, if appropriate, assigns a final disposition code to that

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

telephone number. The table below shows the appropriate final disposition that should be assigned in such cases. States should contact their Project Officer about cases not covered by the table below.

States should ensure that every record whose last disposition in its call history is an interim disposition is assigned a final disposition according to the following rules. **The rules below are hierarchical. The first rule should be applied first to all records with a last, interim disposition code, then the second rule to the remaining records, etc.** As noted above, beginning with data year 2002, WinCATI will be programmed to implement this approach.

A final disposition code of 450 Non-working/disconnected number may need to be converted to a final code of 355 Telephone number has changed status from household or possible household to non-working during the interviewing period. Note that this conversion is programmed into the Ci3 questionnaire in WinCATI. States using other CATI system should configure their CATI systems to make the change or they should make the change during their post-data collection processing.

When an interviewer assigns a final disposition code of 450 Non-working/disconnected number on a second or subsequent call attempt, the previous disposition codes should be reviewed. If at least one previous code is 505, 510, 515, 520, 525, 530, 535, or 540, then the final disposition code should be changed to 355 Telephone number has changed status from household or possible household to non-working during the interviewing period. This situation is included in the table below even though it involves changing a final (as opposed to interim) disposition code.

<b>If There Is/Are</b>	<b>Assign Indicated Final Disposition Code If</b>
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 120 Partial complete
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 210 Termination within questionnaire
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 220 Refusal after respondent selection
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 270 Hang up or termination after number of adults taken but before respondent selection



## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

<b>If There Is/Are</b>	<b>Assign Indicated Final Disposition Code If</b>
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 310 Hang-up or termination, housing unit, unknown if eligible respondent
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 505 Refusal: hang-up or termination	The questions answered meet the definition for a 330 Hang-up or termination, unknown if private residence
At least one disposition of 510 Appointment	The questions answered meet the definition and callback rules for a 230 Selected respondent never contacted or was reached but did not begin interview during interviewing period
At least one disposition of 510 Appointment	The questions answered meet the definition and callback rules for a 280 Household contact after number of adults taken but before respondent selection
At least one disposition of 510 Appointment	The questions answered meet the definition and callback rules for a 315 Household contact, eligibility undetermined
At least one disposition of 510 Appointment	The questions answered meet the definition and callback rules for a 332 Contact, unknown if private residence
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 515 Language problem	(No further conditions. Assign final disposition of 320 Language problem before respondent selection.)
Two interim dispositions or one interim disposition on or after a fifteenth call attempt of 520 Physical or mental impairment	(No further conditions. Assign final disposition of 325 Physical or mental impairment before respondent selection.)
At least one disposition of 525 Answering machine, message confirms residential status	The call history meets the definition and callback rules for a 335 Telephone answering device, message confirms residential status
At least one disposition of 530 Technological barrier other than answering machine, message confirms residential status	The call history meets the definition and callback rules for a 340 Telecommunication technological barrier
At least one disposition of 535 Answering machine, not sure if private residence	The call history meets the definition and callback rules for a 345 Telephone answering device, not sure if private residence
At least one disposition of 540 Technological barrier other than answering machine, not sure if private residence	The call history meets the definition and callback rules for a 350 Telecommunication technological barrier, not sure if private residence

## Policy Memo 2001.1, Version 5 (February 21, 2002), BRFSS Disposition Codes

<b>If There Is/Are</b>	<b>Assign Indicated Final Disposition Code If</b>
A last disposition of 450 Non-working/disconnected number and at least one previous disposition of 505, 510, 515, 520, 525, 530, 535, or 540 (See the two paragraphs preceding this table.)	The call history meets the definition and callback rules for a 355 Telephone number has changed status from possible household to non-working during the interviewing period
At least one disposition of 560 Fax/data/modem and all other dispositions, not counting 580 Null attempt or 585 Requires supervisor attention, are 550 No answer, 555 Busy, 565 Fast busy, 570 Possible non-working number, or 575 Circuit busy	The call history meets the definition and callback rules for a 430 Dedicated fax/data/modem line
At least one disposition of 565 Fast busy and all other dispositions, not counting 580 Null attempt or 585 Requires supervisor attention, are 550 No answer, 555 Busy, 570 Possible non-working number, or 575 Circuit busy.	The call history meets the definition and callback rules for a 440 Fast busy
At least one disposition of 550 No answer	The call history meets the definition and callback rules for a 360 No answer
At least one disposition of 555 Busy	The call history meets the definition and callback rules for a 365 Busy
At least fifteen call attempts with all dispositions, not counting 580 Null attempt or 585 Requires supervisor attention, 545 Phone number temporarily out of service, 570 Possible non-working number, or 575 Circuit busy	The call history meets the definition and callback rules for a 450 Non-working/disconnected number